
EVALUATOR MANUAL TRANSMITTAL SHEET

<u>Distribution:</u>	<u>Transmittal No.</u> 06RM-01
_____ All Child Care Evaluator Manual Holders _____ All Residential Care Evaluator Manual Holders <u>X</u> All Evaluator Manual Holders	<u>Date Issued</u> February 2006

Subject:

REFERENCE MATERIAL: FACILITY EVALUATION/VISIT

Reason For Change:

Section 3-4160 Definition of Facility Evaluation Visits

Filing Instructions:

REMOVE – Pages 3.1 and 3.2

INSERT – Pages 3.1 and 3.2

Approved:

Original signed by Thomas Stahl

2/8/06

THOMAS STAHL, Chief
Policy Development Bureau
Community Care Licensing Division

Date

Contact Person: Bob Caldwell

Phone Number: (916) 324-4307

3-4150 REVIEW OF FACILITY FILE (Continued)**3-4150**

The licensee is instructed to update the roster and return it to the Licensing Program Analyst with any required documents or verifications. This form will be helpful when the Licensing Program Analyst conducts the visit to verify the background check status of all persons working or residing in the facility. Whether the licensee returns the roster or not, the Licensing Program Analyst should print out a current copy of the roster to take to the facility for the visit.

An individual with a pending status may not work or reside in the facility until he/she receives a clearance or an exemption. If during the visit the Licensing Program Analyst finds evidence that an individual without a clearance or an exemption works or resides in the facility the Licensing Program Analyst must cite a Type A violation and assess an immediate civil penalty.

For County licensed facilities, it is important for the Licensing Program Analyst to verify the background check status of all individuals associated with the home prior to a visit to the home.

3-4160 DEFINITION OF FACILITY EVALUATION VISITS**Pre-licensing Visit**

Pre-licensing visits are conducted prior to licensure to ensure the facility meets licensing requirements. If multiple visits are needed to verify that the facility has made the corrections needed to meet licensing standards, each visit is counted as a pre-licensing visit. Pre-licensing visits are made by appointment.

Post Licensing Visit

Post licensing visits are made within 90 days of the approval of licensure to evaluate the facility's compliance with licensing requirements. Post licensing visits are unannounced.

Required Annual Visit

Required annual visits are completed to review the facility operation prior to the license anniversary date. Required annual visits are unannounced, except at Foster Family Homes, where Licensing Program Analysts must schedule in advance with the licensee. Required annual visits are conducted for any of the following reasons:

- a. When a licensee is on probation.
- b. When the terms of agreement in a facility compliance plan require an annual evaluation.
- c. When an accusation against a licensee is pending.
- d. When a facility requires an annual visit as a condition of receiving federal financial participation.
- e. In order to verify that a person who has been ordered out of a facility by the Department is no longer at the facility.

(See Evaluator Manual, Facility Evaluation/Visit, Section 3-4600 through 3-4620)

3-4160 DEFINITION OF FACILITY EVALUATION VISITS (Continued)**Random Sample Visit**

Random sample visits are unannounced site visits that are to be made to no less than 20 percent of facilities not subject to annual visits to evaluate the facility's compliance with licensing requirements.

(See Health and Safety Code, Section 1534 (a) (1)(B))

Complaint Visit

Complaint visits are made to facilities to investigate allegations lodged against the facility. If multiple visits are needed to complete a complaint investigation, each individual visit to the facility is recorded as a complaint visit. Visits that are made to verify the correction of deficiencies cited as a result of complaint investigations are counted as plan of correction visits, not as complaint visits. Complaint visits are unannounced.

(See Evaluator Manual, Complaints, Section 3-2010, 3-2011 and 3-3105)

Collateral Visit

Collateral visits are made in connection with complaint investigations, to follow up on incident reports, or to gather additional information needed as a result of any type of facility visit. When a visit is made to a location other than the facility that was the subject of the complaint, other licensing visit or incident, it is a collateral visit. An LIC 809, Facility Evaluation Report, is used to document a collateral visit when it takes place at a licensed facility. An LIC 812, Detail Supportive Information, is used for collateral visits that take place at locations that are not licensed by Community Care Licensing, such as hospitals, police stations or private residences.

Case Management Visit

Case management visits are made to facilities needing increased supervision, to review operational concerns, and/or consultation to the facility. The following are some reasons that case management visits may be generated:

- There is a pending administrative action or compliance plan that requires additional visits to the facility.
- One or more special incident reports raise concerns that the LPA needs to review on site at the facility.
- The licensee of the facility asks for consultation that requires a visit to the facility.
- Deficiencies are observed during a complaint investigation by licensing program analysts that are not part of the allegations in the original complaint being investigated. For example, an LPA may be investigating a complaint involving staffing ratios, but also observe a broken window or unlocked medications. Any deficiency associated with the complaint allegation would be documented on an LIC 9099 or LIC 9099D (Field Automated System) as a complaint visit, while the broken window or unlocked medication deficiencies would be documented on an LIC 809 or LIC 809D (Field Automated System) as a case management visit. Both a complaint and case management visit would be entered into the LIS for that facility.

Plan of Correction Visit

Plan of correction visits are made to facilities cited for licensing violations to determine if those deficiencies have been corrected. Plan of correction visits are unannounced.